

# **NATIONAL MARINE SANCTUARY**

## **Archaeological Research Permit**

### **Application Guidelines**

The following guidelines for Archaeological Research permits for the National Marine Sanctuaries have been prepared in compliance with the Federal Archaeological Program laws, regulations and guidelines including The Secretary of Interior's Standards and Guidelines for Archaeology and Historic Preservation, The Abandoned Shipwreck Act Final Guidelines (F.R. Vol. 55, No. 233, December 4, 1990), the Archaeological Resources Protection Act of 1979; Final Uniform Regulations (43 CFR Part 7), and the NOAA Sanctuaries and Reserves Division Archaeological Research Permit Guidelines (last revised October 1992).

Applications for Research/Recovery Permits should include:

**I. Cover Sheet:** The cover sheet shall identify:

- A. title of project (ex. "Survey of the USS ALLIGATOR");
- B. applicant's name, address, telephone number, and affiliation;
- C. name, address, affiliation, and of other key personnel;
- D. proposed date of project and anticipated duration;
- E. Demonstrate reasonable ability to fund each phase of intended investigation covered by the permit.
- F. glossary/key words.

**II. Project Summary:** The applicant should provide a 250-word (maximum) summary of the project including a brief statement of research objectives, scientific methods to be used, and the significance of the proposed work to the established management plan goals of this National Marine Sanctuary. Also include a chart that shows the location and the lat/long of the proposed work area.

**III. Technical Information:** The applicant should provide clear, concise, and complete statements for the following information. Please note that an archaeological survey must be conducted on a site before an Research/Recovery Permit can be issued (See Archaeological Survey/Inventory Permits).

A. Research Plan - A research plan describing in detail the specific research objectives and goals (methodologies should be addressed in the Operational Plan - see 3 (c) below). The application should include a description of:

- (1) the archaeological goals and methods to be employed;
- (2) the problems toward which the research will be directed (i.e. what questions will this research answer?); and
- (3) the ways in which other researchers have sought to answer them.

B. Project Significance - The applicant should discuss significant previous research in the area of interest and how the proposed effort may enhance or contribute to improving the state of knowledge of history, anthropology or archaeology. Explain why the proposed effort should be performed in this sanctuary and any potential benefits that might be imparted to the public's interest and to sanctuary resources protection and management. Discuss potential benefits that might result from the addition of artifacts to the pool of artifacts available for display. Discuss how the project may provide public access to artifacts embedded in submerged lands and not able to be directly examined or physically displayed to the public without removal.

C. Operational Plan - The applicant should describe the tasks required to accomplish the project's objectives. Describe proposed methods to be used for site documentation,

excavation, recovery and the storage of artifacts and related materials on site and at the storage lab. Describe the rationale for selecting the proposed methods over any alternative methods.

D. Required Reports - Applicant's signature to this application signifies intent to provide the following reports (See Appendix 1, Report Guidelines):

- (1) Seasonal Reports;
- (2) Final Project Report;
- (3) Artifact Conservation Report.

E. Artifact Handling Plan - The applicant should provide an Artifact Handling Plan that includes the following:

(1) Artifact removal - Discuss techniques for removal of various types of artifacts expected to be encountered. Specifically address types of artifacts requiring special care such as glass or ceramics and organic artifacts such as rope, leather, textiles, and other fragile objects.

(2) Artifact processing - Discuss plans for artifact storage between the field and conservation lab. Discuss proposed artifact inventory methodology. Each artifact should be tagged with a Field Catalogue Number to be assigned as soon as it is removed from the water at the site. Additional tags bearing accession numbers may be assigned and affixed by the Marine Sanctuary Division (MSD). In this case, MSD will maintain public records linking the original Field Catalogue Number and any additional numbers assigned.

Unique or valuable artifacts should be photographed from two perspectives with a bar scale, date and the Catalogue Number tag prominently displayed. The Field Catalogue Number tag should be sturdy and waterproof and will should be attached to the artifact in a non-destructive manner so as to accompany the artifact through storage and the conservation process. Bulk or highly repetitive artifacts, such as

coins, musket balls, pottery shards, etc. need not be photographed individually, but should be photographed in groups with the artifact tag number containing the Field Catalogue number visible.

F. Conservation Plan - The applicant should provide a detailed plan for the conservation of artifacts. Include methods of conservation and intended processes. The Conservation Plan should include:

- (1) Conservation Methodology - Discuss the methods of conservation and the intended processes for each class of artifact (i.e. ceramic, wood, other organic materials, ferrous metal, and non-ferrous metal);
- (2) Conservation Equipment - Describe the conservation facility's;
- (3) Storage Space - Describe the conservation facility's location and size of the storage space.

G. Curation and Display Plan - The applicant should provide a detailed plan for the curation of artifacts in compliance with Cf. 36 CFR 79, Curation of Federally-Owned and Administered Archaeological Collections. (see Appendix 2 )

The Curation Plan should ensure that the following processes are considered:

- (1) Curation Facility and Personnel - Identify the curatorial facility and the professional personnel. Curatorial facilities should have adequate space to ensure the safe storage of artifacts.
- (2) Artifact Storage - Archaeological specimens should be maintained so that their information values are not lost through deterioration. Storage records should be maintained to a professional archival standard;
- (3) Project Records - Project and curation records should be maintained in a manner conforming to standard archival method. Storage should conform to professional archival standards and should allow for accessibility of records to qualified researchers within a reasonable amount of time of having been requested;
- (4) Artifact Availability - Artifact collections must be accessible to qualified researchers within a reasonable amount of time of having been requested;
- (5) Artifact Loans - Artifacts should be available for loan to other institutions for interpretive purposes, subject to reasonable security precautions and scheduling practicalities; and
- (6) Artifact Display - Collections should be available for educational and interpretive purposes, subject to reasonable security precautions. A plan for the display exhibit area will be required if artifacts are intended for display. Exhibit information will include display case design and security, building security and temperature and humidity control. A loan agreement will be prepared between NOAA and the exhibiting institution in keeping with 36 CFR 79 (see above).

H. Environmental Consequences - The applicant should provide an analysis of the extent and nature of potential environmental impacts on sanctuary resources from permitted activity. If impact to natural resources is proposed, the applicant should provide a Site Restoration and Remediation Plan to address any injury or impacts resulting from the project.

IV. Required Archaeological Documentation and Recording: The applicant's signature to this Research/Recovery Application signifies intention to provide the following documentation:

A. Project Log - Master copies of standard log book sheets shall be supplied to the permittee who shall make sufficient copies and fill them out on a daily basis. Copies of all completed field logs must be turned over to NOAA following the completion of the project.

B. Artifact Log - An Artifact Log should be kept at the site and in the storage lab. Each artifact will be assigned a Field Number. A description of the artifact, archaeological provenience data and the recorder's name and the date should be recorded in the log. A copy of the Artifact Log will be turned over to NOAA/MSD at the completion of the project.

C. Photographs and Videotapes - Applicant should provide photographs and/or videotapes (optional) of significant individual site features and/or artifact clusters both in situ and after removal. Images should include photo scale, North arrow and date/site name board.

V. Supporting Information

A. Financial Support - Provide contract number, performance period, and name of sponsoring entity, if any. If none, provide sufficient data to substantiate the fiscal capability to complete the phases of work proposed to be permitted. If artifact recovery is proposed, financial data must address the resources necessary for the conservation, curation and interpretation of the resulting archaeological collection.

B. Coordination with Research in Progress or Proposed - MSD encourages coordination and cost-sharing with other investigators to enhance scientific capabilities and avoid unnecessary duplication of efforts, where applicable.

C. Professional References - Show evidence of the ability of each team member to perform the assigned tasks for the following personnel:

(1) Supervising Archaeologist - The Supervising Archaeologist is responsible for archaeological aspects of the project and need not serve as project manager. The applicant should submit a resume detailing the professional qualifications of the Supervising Archaeologist (including citations and examples of archaeological site reports and professional publications).

In compliance with the "Secretary of Interior's Standards and Guidelines for Archaeology and Historic Preservation" and the Archaeological Resources Protection Act the Supervising Archaeologist should fulfill the following qualifications:

- A graduate degree in archaeology, anthropology, maritime history equivalent training and experience;
- at least one year of professional experience or equivalent specialized training in archaeological research, administration or management;
- at least four months of supervised field and analytic experience in general North American archaeology and maritime history;
- demonstrated ability to carry research to completion;
- and at least one year of full-time professional experience at a supervisory level in the study of historic marine archaeological resources (for historic shipwreck studies) or prehistoric marine archaeological resources (for submerged prehistoric studies).

This person shall be able to demonstrate ability in comprehensive analysis and interpretation through authorship of reports and monographs;

(2) Archaeological Assistants - Archaeological Assistants need not meet Supervising Archaeologist qualifications but will serve under the direction of the Supervising Archaeologist. The applicant should provide the name and experience of all qualified archaeological assistants who will assist the supervising Archaeologist in site documentation and research.

(3) Artifact Conservator - The applicant should provide documentation of the Artifact Conservator's demonstrated experience in conservation of artifacts from submerged sites. Professional experience should include experience in the conservation of ferrous and non-ferrous metals, ceramics, glass and organic materials.

D. Letters of Intent - Applicant should provide letters of intent to participate in this project from:

- (1) Supervising Archaeologist
- (2) Conservator

E. References - Provide bibliographic references for any citations made in text.

VI. Requests for Sanctuary Support Services - Certain sanctuaries within the MSD have limited on-site Sanctuary personnel, facilities and equipment that may be used on loan or lease to support

research under special circumstances. Requests for support must accompany the permit application and include the following information:

- A. Type of support requested;
- B. Reason for request;
- C. Dates and length of use;
- D. Alternative plans if support is not available.

VII. Compliance with the Federal Archaeological Program - These guidelines have been prepared in compliance with the Federal laws, standards and guidelines that comprised the Federal Archaeological Program [including Executive order 11593, the National Historic Preservation Act as amended 1992, the Abandoned Shipwreck Act, the Secretary of Interior's Standards and Guidelines for Archaeology and Historic Preservation as well as implementing regulations and guidelines].

Applicant's signature on this application for a Research/ Recovery Permit signifies their intention to comply with all guidelines and conditions noted herein. Applicant understands that failure to comply with any of the requirements of this permit application may prevent re-application for new permits and cause all other outstanding permits to be voided. A permittee who is prevented from re-application for new permits or whose outstanding permits are voided shall be entitled to notice and hearing in accordance with NOAA regulations and the Administrative Procedures Act

#### VIII. Public Reporting Burden

The Marine Sanctuary Program is mandated via the Sanctuaries Act to comply with the laws and regulations of the Federal Archaeological Program (FAP) which includes the National Historic Preservation Act of 1966 (NHPA). The NHPA requires that all federal undertakings, including permitting the disturbance of submerged cultural resources (SCRs), be evaluated to assess potential adverse impacts. The information requested in these guidelines is required to ensure compliance with the federal mandates of the FAP. The information is used to evaluate the potential benefits of the activity, to determine whether the proposed methods will achieve the proposed results, and to evaluate any possible detrimental environmental impacts. It is through this evaluation and the tracking of all cultural resources activities that the NMSP is able to use permitting as one of the management tools to protect submerged cultural resources for which NOAA is the trustee. Submittal of the information requested in these guidelines is required to obtain a permit pursuant to National Marine Sanctuary Regulations (15 CFR part 922). Applicants are requested to indicate any information that is considered proprietary business information. Such information is typically exempt from disclosure to anyone requesting information pursuant to the Freedom of Information Act (FOIA). NOAA will make all possible attempts to protect such proprietary information, consistent with all applicable FOIA exemptions in 5 U.S.C. 552(b). Typically exempt information includes trade secrets, commercial and financial information (5 U.S.C. 552(b)(4)). Personal information affecting an individual's privacy will also be kept confidential consistent with 5 U.S.C. 552(b)(6).

Public reporting burden for this collection of information is estimated to average thirteen (13) hours per response (application, cruise log, and final report), including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Permit Coordinator, NOAA National Marine Sanctuary Program, 1305 East-West Highway (N/ORM6), 11th Floor, Silver Spring, MD 20910. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

## Appendix 1

### Report Guidelines

Three copies of each report will be submitted to the Sanctuary manager. Reports will be reviewed by the MSD Archaeologist and the appropriate State archaeologist.

I. Seasonal Reports - The permittee will provide a Seasonal Report within sixty (60) days of the conclusion of each dive season for the duration of the permit. A one or two page report should include:

- a summary of the season's activities;
- a discussion of any problems encountered that may require a revision of the permit;
- plans for the next field season based on permittee's assessment of the preceding season's work.

The applicant should also submit copies of pertinent photographs, video, maps, artifact logs, and field logs.

II. Final Report - The permittee will provide a detailed plan for a final site report on the activities and results of the project. The Final Report must be submitted within one (1) year of the completion of field work and artifact conservation.

The bound Final Report will include:

- (1) Site Description - a description of the study area;
- (2) Site History - a contextual history relating the site to the general history of the region;
- (3) Research Design - the original project design and research goals for the project;
- (4) Field Work Description - a description of the field activities including a summary of the survey and/or excavation process;
- (5) Field Observations - all observations of notable occurrences, patterns, etc.;
- (6) Data Analysis - full analysis and results of recovered data and artifacts to also include:
- (7) Maps - The applicant should supply the following maps:
  - An overall map showing site in relation to submerged features and nearest land mass (ex. NOAA chart);
  - A pre-excavation plan view (overhead) map showing significant or readily observable exposed artifacts and site features;
  - An overall plan-view site map showing all excavated hull structure;
  - Detailed feature maps for each significant feature to include location of artifacts removed from site. Artifact locations will include the artifact Field Catalogue Number (see 3.e.2 below). If numerous artifacts are retrieved from a specific area they may be listed in table form and keyed to the map location by an index number. They will relate the artifact positions to features in the overall site map. The feature maps will include 3 different perspectives, including overhead or plan view, side/profile view, and (if practicable) frontal/sectional view;
  - All maps should show a grid or grid ticks on the outer border of the map in Loran C, Longitude and Latitude, or other recognized coordinate system. Smaller-scale maps should have grids with X-Y coordinates related to datum on overall site map. Maps should include a bar scale, North arrow, and title block which identifies the map. The title block should include the permit number, permittee's name, and year of the permit.

(8) Project Assessment - The Final Report should include a discussion of the applicant's perceived success of the project and recommendations for updating historical contexts and planning goals.

The final report must be reviewed by the Supervising Archaeologist and signed and dated with his/her comments.

III. Conservation Report - The Conservation Report should include an account of all work done on artifacts. Note work done on different materials and/or classes of artifacts, work on significant (unique or fragile) artifacts, and work on composite-type artifacts composed of two or more materials (ex. wood and iron).

The report of the conservation of artifacts should include appendices containing:

- an Artifact List;
- copies of the Conservation Lab Records; and
- before and after photographs of artifacts at the conservation lab.

## Appendix 2

The following Federal archaeological guidelines may be obtained from The Departmental Consulting Archaeologist, NPS, P.O. Box 37127, Washington, D.C. 20013-7127:

The Secretary of Interior's Standards and Guidelines for Archaeology and Historic Preservation

Archaeological Resources Protection Act of 1979; Final Uniform Regulations (43 CFR Part 7)

Cf. 36 CFR 79, Curation of Federally-Owned and Administered Archaeological Collections